

DECLARATION AND OATH OF ATTORNEY FOR PATENT APPLICATION
特許出願宣言書及び委任状

Japanese Language Declaration

日本語宣言書

ATTORNEY DOCKET NO. 09792909-4689

下記の氏名の発明者として、私は以下の通り宣言します。

私の住所、私書箱、国籍は下記の私の氏名の後に記載された通りです。

下記の名称の発明に関して請求範囲に記載され、特許出願している発明内容について、私が最初かつ唯一の発明者（下記の氏名が一つの場合）もしくは最初かつ共同発明者であると（下記の名称が複数の場合）信じています。

上記発明の明細書（下記の欄でx印がついていない場合は、本書に添付）は、

☐ __月__日に提出され、米国出願番号または特許協定条約国際出願番号を____とし、
(該当する場合) _____ に訂正されました。

私は、特許請求範囲を含む上記訂正後の明細書を検討し、内容を理解していることをここに表明します。

私は、連邦規則法典第37編第1条56項に定義されるとおり、特許資格の有無について重要な情報を開示する義務があることを認めます。

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**"BATHOPHENATHROLINE COMPOUND AND
PROCESS FOR PREPARING THE SAME"**

the specification of which is attached hereto unless the following box is checked:

☒ was filed on November 2, 2000 as United States Application Number or PCT International Application Number 09/704,968 and was amended on November 2, 2000 (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

私は、米国法典第35編119条(a)-(d)項又は365条(b)項に基づき下記の、米国以外の国の少なくとも一ヶ国を指定している特許協力条約365(a)項に基づき国際出願、又は外国での特許出願もしくは発明者証の出願についての外国優先権をここに主張するとともに、優先権を主張している、本出願の前に出願された特許または発明者証の外国出願を以下に、枠内をマークすることで、示しています。

Prior Foreign Application(s)

外国での先行出願

P11-312071 Japan November 2, 1999

(Number) (号)	(Country) (国名)	(Day Month Year Filed) (出願年月日)
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(Number) (番号)	(Country) (国名)	(Day Month Year Filed) (出願年月日)
--------------------	---------------------	-------------------------------------

私は、第35編米国法典119条(e)項に基づいて下記の米国外特許出願規定に記載された権利をここに主張いたします。

(Application No.) (出願番号)	(Filing Date) (出願日)
-------------------------------	--------------------------

私は、下記の米国法典第35編120条に基づいて下記の米国外特許出願に記載された権利、又は米国を指定している特許協力条約365条(c)に基づき権利をここに主張します。また、本出願の各請求範囲の内容が米国法典第35編112条第1項又は特許協力条約で規定された方法で先行する米国外特許出願に開示されていない限り、その先行米国出願書提出日以降で本出願書の日本国内または特許協力条約国際提出日までの期間中に入手された、連邦規則法典第37編1条56項で定義された特許資格の有無に関する重要な情報について開示義務があることを認識しています。

I hereby claim for: priority under Title 35, United States Code, Section 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate or 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed:

Priority Not Claimed

優先権主張なし

(Number)	(Country)	(Day Month Year Filed)
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(Number)	(Country)	(Day Month Year Filed)
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I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below.

(Application No.) (出願番号)	(Filing Date) (出願日)
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I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) or 365(c) of an PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

(Application No.)
(出願番号)

(Filing Date)
(出願日)

(Status: patented, pending, abandoned)
(現況: 特許許可済、係属中、放棄済)

Application No.)
(出願番号)

(Filing Date)
(出願日)

(Status: patented, pending, abandoned)
(現況: 特許許可済、係属中、放棄済)

私は、私自身の知識に基づいて本宣言書中で私が行なう表明が真実であり、かつ私の入手した情報と私の信じることに基づく表明が全て真実であると信じていること、さらに故意になされた虚偽の表明及びそれと同等の行為は米国法典第18編第1001条に基づき、罰金または拘禁、もしくはその両方により処罰されること、そしてそのような故意による虚偽の声明を行なえば、出願した、又は既に許可された特許の有効性が失われることを認識し、よってここに上記のごとく宣誓を致します。

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

委任状: 私は下記の発明者として、本出願に関する一切の手続きを米特許商標局に対して遂行する弁理士または代理人として、下記の者を指名いたします。(弁理士、または代理人の氏名及び登録番号を明記のこと)

POWER OF ATTORNEY: As a named Inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (list name and registration number)

David R. Metzger (Reg. No. 32,919), Joseph A. Mahoney (Reg. No. 38,956), Howard B. Rockman (Reg. No. 22,190), Jordan A. Sigale, (Reg. No. 39,028), Michael A. Molano (Reg. No. 39,777), Michael L. Kiklis (Reg. No. 38,939), Janelle D. Strode (Reg. No. 34,738), Kevin W. Guynn (Reg. No. 29,972), Jennifer Hammond (Reg. No. 41,814), Lana Knedlik (Reg. No. 42,748), John F. Griffith (Reg. No. 44,137), Marina Saito (Reg. No. 42,121), Alison P. Schwartz (Reg. No. 43,863), Christopher P. Rauch (Reg. No. 45,034), Francisco Rubio-Campos (Reg. No. 45,358), Brian J. Gill (Reg. No. 46,727) and Shashank S. Upadbye, all members of the firm of Sonnenschein, Nath & Rosenthal

Send Correspondence to:

書類送付先

David R. Metzger
Sonnenschein Nath & Rosenthal
P.O. Box #061080
Wacker Drive Station
Chicago, Illinois 60606-1080

直接電話連絡先: (名前及び電話番号)

Direct Telephone Calls to: (name and telephone number)

312/876-2578

唯一または第一発明者名	Full name of sole or first inventor: TETSUO SHIBANUMA March 7, 2001 A.S.
発明者の署名 日付	Inventor's signature Date Tetsuo Shibamura March 7, 2001
住所	Residence Kanagawa, Japan
国籍	Citizenship Japan
私書箱	Post Office Address c/o Sony Corporation 7-35, Kitashinagawa 6-chome Shinagawa-ku, Tokyo 141, Japan

(第三以降の共同発明者についても同様に記載し、署名をすること)

第二共同発明者	Full name of second joint inventor, if any: YASUNORI KIJIMA
発明者の署名 日付	Inventor's signature Date Yasunori Kijima March 8, 2001
住所	Residence Tokyo, Japan
国籍	Citizenship Japan
私書箱	Post Office Address c/o Sony Corporation 7-35, Kitashinagawa 6-chome Shinagawa-ku, Tokyo 141, Japan
第二共同発明者	Full name of third joint inventor, if any: NOBUTOSHI ASAI
発明者の署名 日付	Inventor's signature Date Nobutoshi Asai March 8, 2001
住所	Residence Kanagawa, Japan
国籍	Citizenship Japan
私書箱	Post Office Address c/o Sony Corporation 7-35, Kitashinagawa 6-chome Shinagawa-ku, Tokyo 141, Japan

Japanese Language Declaration

(日本語宣言書)

第二共同発明者		Full name of fourth joint inventor, if any: SHINICHIRO TAMURA	
発明者の署名	日付	Inventor's signature <i>Shin-ichiro Tamura</i>	Date March 9, 2001
住所		Residence Kanagawa, Japan	
国籍		Citizenship Japan	
私書箱		Post Office c/o Sony Corporation 7-35, Kitashinagawa 6-chome	
		Shinagawa-ku, Tokyo 141, Japan	
第二共同発明者		Full name of fifth joint inventor, if any:	
発明者の署名	日付	Inventor's signature	Date
住所		Residence	
国籍		Citizenship	
私書箱		Post Office Address	
第二共同発明者		Full name of sixth joint inventor, if any:	
発明者の署名	日付	Inventor's signature	Date
住所		Residence	
国籍		Citizenship	
私書箱		Post Office Address	
第二共同発明者		Full name of seventh joint inventor, if any:	
発明者の署名	日付	Inventor's signature	Date
住所		Residence	
国籍		Citizenship	
私書箱		Post Office Address	



UNITED STATES DEPARTMENT
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

SEPTEMBER 06, 2001

PTAS

SONNENSCHNEIN, NATH & ROSENTHAL
DAVID R. METZGER
P.O. BOX 061080
WACKER DRIVE STATION, SEARS TOWER
CHICAGO, IL 60606-1080



101766008A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

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NUMBER OF PAGES: 4

BRIEF: CORRECTIVE ASSIGNMENT CORRECTING THE FIRST ASSIGNOR'S NAME PREVIOUSLY RECORDED ON REEL 011653, FRAME 0327. ASSIGNOR HEREBY CONFIRMS THE ASSIGNMENT OF THE ENTIRE INTEREST.

ASSIGNOR:

SHIBANUMA, TETSUO

DOC DATE: 03/07/2001

ASSIGNOR:

KIJIMA, YASUNORI

DOC DATE: 03/08/2001

ASSIGNOR:

ASAI, NOBUTOSHI

DOC DATE: 03/08/2001

ASSIGNOR:

TAMURA, SHINICHIRO

DOC DATE: 03/09/2001

ASSIGNEE:

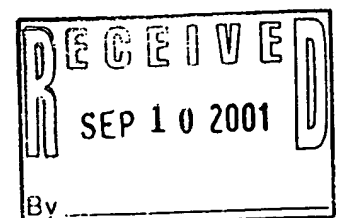
SONY CORPORATION
7-35, KITASHINAGAWA 6-CHOME
SHINAGAWA-KU, TOKYO 141, JAPAN

SERIAL NUMBER: 09704968

PATENT NUMBER:

FILING DATE: 11/02/2000

ISSUE DATE:



011931/0330 PAGE 2

JEFFREY OLSEN, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

07-02-2001

Tab settings



To the Honorable Commissioner of Patents &

red original documents or copy thereof.
of receiving party(ies):

1. Name of conveying party(ies):

TETSUO SHIBANUMA
YASUNORI KIJIMA
NOBUTOSHI ASAI
SHINICHIRO TAMURA

6-2501
3-26-01

101766008

Name: SONY CORPORATION

Internal Address: 7-35, Kitashinagawa 6-chome
Shinagawa-ku, Tokyo 141, JAPAN

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☐ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☒ Other See Attached

Execution Date: June 21, 2001

Street Address:

City: State: ZIP:

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s)

09/704,968, Filed November 2, 2000

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: SONNENSCHN NATH & ROSENTHAL

Internal Address: P.O. Box 061080

Wacker Drive Station, Sears Tower

Chicago, Illinois 60606-1080

Street Address:

City: State: ZIP:

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$ 40.00

- ☒ Enclosed
☐ Authorized to be charged to deposit account

8. Deposit account number:

19-3140

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

David R. Metzger

Name of Person Signing

Signature

Date

6-21-01


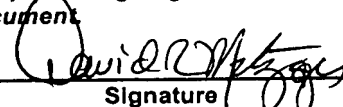
Total number of pages including cover sheet, attachments, and document:

06/23/2001 LAUELLER 00000115 09704968

01 FC:581

40.00 DP

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Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

FORM PTO-1595 1/31/82		04111-2001  101659977		U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office	
To the Honorable Commissioner of Patents and Trademarks: Please Record the attached original documents and copy thereof.					
1. Name of conveying party(ies): TETSUO SHIANUMA YASUNORI KIJIMA NOBUTOSHI ASAI SHINICHIRO TAMURA Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 3-26-01			2. Name and address of receiving party(ies): Name: <u>Sony Corporation</u> Internal Address: _____ <u>7-35, Kitashinagawa 6-chome</u> <u>Shinagawa-ku, Tokyo 141, Japan</u> Street Address: _____ City: _____ State: _____ Zip: _____ Additional Name(s) & Address(es) attached <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____ Execution Date <u>March 7, 8 and 9, 2001</u>			4. Application (number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application is: _____ <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> A. Patent Application No.(s) U.S. Serial No. 09/704,968 filed November 2, 2000 Attorney Docket No. 09792909-4689 </div> <div style="width: 45%;"> B: Patent No.(s) </div> </div> Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
5. Name and address of party to whom correspondence concerning document should be mailed: SONNENSCHN NATH & ROSENTHAL P.O. Box #061080 Wacker Drive Station Sears Tower Chicago, IL 60606-1080 Customer ID No. 26263			6. Total number of applications and patents involved <u>1</u> 7. Total Fee (37 CFR 3.41) \$ <u>40.00</u> <input checked="" type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to deposit account any Additional fees 8. Deposit Account Number: <u>19.3140</u> (Attach duplicate copy of this page if paying by deposit account)		
DO NOT USE THIS SPACE					
9. Statement and signature: <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i> <div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div style="width: 30%;"> <u>David R. Metzger</u> Name of Person Signing </div> <div style="width: 30%; text-align: center;">  Signature </div> <div style="width: 30%; text-align: right;"> <u>March 23, 2001</u> Date Total number of pages <u>3</u> </div> </div>					
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04/10/2001 LMUELLER 00000304 09704968

01 FC:581

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ASSIGNMENT

WHEREAS, I, as a below named inventor, residing at the address stated next to my name, am a sole inventor (if only one name is listed below) or a joint inventor (if plural names are listed below) of certain new and useful improvements in **BATHOPHENANTHROLINE COMPOUND AND PROCESS FOR PREPARING SAME**

for which application for Letters Patent of the United States of America was executed by me on the date indicated next to my name and address;

AND WHEREAS, Sony Corporation, a Japanese corporation with offices at 7-35 Kitashinagawa 6-Chome, Shinagawa-Ku, Tokyo, Japan (hereinafter referenced as ASSIGNEE) is desirous of acquiring all interest in, to and under said invention, said application disclosing the invention and in, to and under any Letters Patent or similar legal protection which may be granted therefor in the United States and in any and all foreign countries;

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00), and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, I, as a sole or joint inventor as indicated below, by these presents do hereby assign, sell and transfer unto the said ASSIGNEE, its successors, assigns, and legal representatives, the entire right, title and interest in the said invention, said application, including any divisions and continuations thereof, and in and to any and all Letters Patent of the United States, and countries foreign thereto, which may be granted for said invention, and in and to any and all priority rights and/or convention rights under the International Convention for the Protection of Industrial Property, Inter-American Convention Relating to Patents, Designs and Industrial Models, and any other international agreements to which the United States of America adheres, and to any other benefits accruing or to accrue to me with respect to the filing of applications for patents or securing of patents in the United States and countries foreign thereto, and I hereby authorize and request the Commissioner of Patents to issue the said United States Letters Patent to said ASSIGNEE, as the assignee of the whole right, title and interest thereto;

And I further agree to execute all necessary or desirable and lawful future documents, including assignments in favor of ASSIGNEE or its designee, as ASSIGNEE or its successors, assigns and legal representatives may from time-to-time present to me and without further remuneration, in order to perfect title in said invention, modifications, and improvements in said invention, applications and Letters Patent of the United States and countries foreign thereto;

And I further agree to properly execute and deliver and without further remuneration, such necessary or desirable and lawful papers for application for foreign patents, for filing subdivisions of said application for patent, and or, for obtaining any reissue or reissues of any Letters Patent which may be granted for my aforesaid invention, as the ASSIGNEE thereof shall hereafter require and prepare at its own expense;

And I further agree that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents in foreign countries as may be known and accessible to me and will testify as to the same in any interference or litigation related thereto;

And I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment and sale.

And I hereby authorize and request my attorney(s) of record in this application to insert the serial number and filing date of this application in the spaces that follow: Serial Number: 09/704,968, Filing Date: November 2, 2000

This assignment executed on the dates indicated below.

TETSUO SHIBANUMA

Name of first or sole inventor

Execution date of U.S. Patent Application

Kanagawa, Japan

Residence of first or sole inventor

Tetsuo Shibamura

Signature of first or sole inventor

March 7, 2001

Date of this assignment

YASUNORI KIJIMA

Name of second inventor

Execution date of U.S. Patent Application

TOKYO, JAPAN

Residence of second inventor

Signature of second inventor

Yasunori Kijima

March 8, 2001

Date of this assignment

NOBUTOSHI ASAI

Name of third inventor

Execution date of U.S. Patent Application

KANAGAWA, JAPAN

Residence of third inventor

Signature of third inventor

Nobutoshi Asai

March 8, 2001

Date of this assignment

SHINICHIRO TAMURA

Name of fourth inventor

Execution date of U.S. Patent Application

KANAGAWA, JAPAN

Residence of fourth inventor

Signature of fourth inventor

Shin-ichiro Tamura

March 9, 2001

Date of this assignment

Name of fifth inventor

Execution date of U.S. Patent Application

Residence of fifth inventor

Signature of fifth inventor

Date of this assignment